

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Independent Application of

Christopher Kershaw, et al.

Application No. 09/598,889

Filed: June 21, 2000

For: SYSTEM AND METHOD FOR  
COMPARING ATTRIBUTES OF  
DOCUMENTS

Group Art Unit: 2179

Examiner: Chuong, T.

**APPEAL BRIEF**

153 Townsend Street, Suite 800  
San Francisco, CA 94107-1957  
(415) 836-2500

Mail Stop Appeal Brief-Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Certificate of Mailing**

I hereby certify that this correspondence is being  
deposited with the United States Postal Service with  
sufficient postage as FIRST CLASS MAIL in an  
envelope addressed to: Mail Stop Appeal Brief-  
Patents, Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450, on:

April 10, 2006.

Ta-Tanisha L. Moore

Dear Sir/Madam:

This is an appeal from the Office Action, made final, dated July 11, 2005, and a Notice of  
Appeal that was received by the Patent Office on January 11, 2006. One (1) copy of this appeal  
brief is enclosed.

04/13/2006 HDESTA1 00000053 09598889

01 FC:1402

500.00 OP

## TABLE OF CONTENTS

	Page
<b>Real Party in Interest.....</b>	<b>1</b>
<b>Related Appeals and Interferences.....</b>	<b>2</b>
<b>Status of Claims.....</b>	<b>3</b>
<b>Status of Amendments.....</b>	<b>4</b>
<b>Summary of claimed subject matter .....</b>	<b>5</b>
<b>Grounds of rejection to be reviewed on appeal.....</b>	<b>8</b>
<b>Argument.....</b>	<b>9</b>
Rejection of claim 1: 35 USC 102(e) – Johnson et al.....	10
Rejection of claim 3: 35 USC 102(e) – Johnson et al.....	13
Rejection of claim 4: 35 USC 102(e) – Johnson et al.....	14
Rejection of claim 4: 35 USC 102(e) – Johnson et al.....	15
Rejection of claim 6: 35 USC 102(e) – Johnson et al.....	16
Rejection of claim 7: 35 USC 102(e) – Johnson et al.....	16
Rejection of claim 8: 35 USC 102(e) – Johnson et al.....	19
Rejection of claim 9: 35 USC 102(e) – Johnson et al.....	19
Rejection of claim 10: 35 USC 102(e) – Johnson et al.....	20
Rejection of claim 11: 35 USC 102(e) – Johnson et al.....	22
Rejection of claims 12-14: 35 USC 102(e) – Johnson et al.....	22
Rejection of claim 13: 35 USC 102(e) – Johnson et al.....	23
Rejection of claim 14: 35 USC 102(e) – Johnson et al.....	24
Rejection of claim 15: 35 USC 102(e) – Johnson et al.....	24
Rejection of claim 2: 35 USC 103(a) – Johnson et al. in view of Freidman et al. ....	26
<b>Conclusion .....</b>	<b>27</b>
<b>Claims appendix page(s).....</b>	<b>28</b>
<b>Evidence appendix page(s) .....</b>	<b>32</b>
<b>Related proceedings appendix page(s).....</b>	<b>33</b>

**Real Party in Interest**

The real party in interest is Charles Schwab & Co., having a place of business in San Francisco, California.

**Related Appeals and Interferences**

There are no related appeals or interferences.

**Status of Claims**

Claims 1 through 15 are pending in the application. All claims, 1 through 15, have been finally rejected by the Examiner. This is an appeal of the rejection of claims 1 through 15.

**Status of Amendments**

No amendments were filed subsequent to the final rejection.

### **Summary of claimed subject matter**

Four independent claims, 1, 7, 12 and 15, are pending in the subject application. Claims 1 and 7 are directed to methods, claim 12 is directed to an apparatus, and claim 15 is directed to an application.

As required by MPEP 1205.02, in the following concise explanation of the subject matter of the claims, references are made to the specification and drawings as an aid for the Board to determine the claimed subject matter. However, these references are intended as examples of the subject matter of the claims, and there is no intention in the use of such references to limit the breadth of the invention claimed to the specific examples identified.

#### **Claim 1:**

Claim 1 is directed to a method of comparing on a visual display<sup>1</sup>, information from different items<sup>2</sup>. A common tag<sup>3</sup> is used to identify passages<sup>4</sup> in the information which relate to a category of information<sup>5</sup>.

Within the visual display, a different display area<sup>6</sup> is provided for each of the different items<sup>7</sup>.

In each of the display areas, passages from the corresponding different item are displayed, which passages are identified by a designated common tag<sup>8</sup>. As a result, the passages

---

<sup>1</sup> See Figs. 1, 3, reference numeral 100; p. 3, lines 28-29; p. 5, lines 22-24.

<sup>2</sup> Page 4, lines 5-7, p. 5, lines 3-9, 12-21; Fig. 1, 120, 122; Fig. 2; Fig. 3, 132, 134.

<sup>3</sup> For example, Fig. 2, "anchor links" A, B, C, D, E, F, G, H, I; p. 2, lines 17-19; p. 4, lines 13-20, 24-28; p. 5, lines 9-11; Fig. 1, "anchor link E"; Fig. 2, "E."

<sup>4</sup> Page 2, lines 17-19; Fig. 2, "A" through "I", for example; Figs. 5A-5C.

<sup>5</sup> Page 4, lines 13-20, 24-28; p. 5, lines 3-11, Figs. 5A-5C.

<sup>6</sup> Dynamic frame 116, dynamic frame 118, Fig. 1, 3; p. 4, lines 7-23.

<sup>7</sup> Fund 1, Fund 2, Report on F1 132, Report of F2 134, Figs. 1, 3; p. 4, lines 7-23.

<sup>8</sup> In Fig. 1 – in Dynamic Frame 116 from Fund 1 Report 132 (Fig. 3) the passage corresponding to Anchor Link E is displayed. In Dynamic Frame 118 from Fund 2 Report 134 (Fig. 3) the passage corresponding to Anchor Link E is displayed. See also p 4, lines 7-23. Fig. 3 – shows the reports 132, 134 from which the passages are obtained. See also, Figs. 5A-5C.

from the different items which are identified by the designated common tag are observable on the visual display at the same time<sup>9</sup>.

Claim 7:

Claim 7 recites a method of providing comparative information, in an image displayed by a visual display, about a plurality of different items<sup>10</sup>. Information about the plurality of different items includes portions relating to common topics<sup>11</sup>, and the portions on common topics are identified in the information by identifying tags<sup>12</sup>.

A navigational frame<sup>13</sup> is provided in the displayed image, along with a plurality of dynamic frames<sup>14</sup>. A user designation of the different items to be compared is received in the navigational frame<sup>15</sup>. The information about the different items, designated by the user to be compared, is displayed simultaneously in each of the dynamic frames<sup>16</sup>.

Claim 12:

Claim 12 is directed to an apparatus for providing comparative information about a plurality of different items<sup>17</sup>. The apparatus includes a visual display providing a visual image<sup>18</sup> having an interactive navigational frame and a plurality of dynamic frames<sup>19</sup>. A server is communicatively coupled to the visual display and stores information about the plurality of different items<sup>20</sup>.

---

<sup>9</sup> Figs. 1-3; p. 4, lines 7-23; p. 5, lines 12-24; Figs. 5A-5C; p. 9, lines 3-15.

<sup>10</sup> Page 4, lines 5-7; p. 5, lines 3-9, 12-24; Fig. 1 – 100, 120, 122; Fig. 2; Fig. 3 – 132, 134.

<sup>11</sup> Page 4, lines 13-20, 24-28; p. 5, lines 3-11, Figs. 1, 5A-5C.

<sup>12</sup> For example, Fig. 2, “anchor links” A, B, C, D, E, F, G, H, I; p. 2, lines 17-19; p. 4, lines 13-20, 24-28; p. 5, lines 9-11; Fig. 1, “anchor link E”; Fig. 2, “E.”

<sup>13</sup> Figs. 1, 2 – 114; p. 4, lines 1-2.

<sup>14</sup> Figs. 1, 3 – 116, 118; p. 4, lines 1-2; p. 5, lines 22-24.

<sup>15</sup> Fig. 1, Fund 1 – 120, Fund 2 – 122, “anchor link E”; p. 4, lines 5-7, 11-15; p. 5, lines 12-21.

<sup>16</sup> Fig. 1 – 116, 118, p. 4, lines 15-21; p. 5, lines 12-21; Figs. 3, 5A-5C.

<sup>17</sup> Fig. 1 – 100, 120, 122; p. 4, lines 5-7; p. 5, lines 3-9, 12-24; Fig. 2; Fig. 3 – 132, 134

<sup>18</sup> Figs. 1, 3, reference numeral 100; p. 3, lines 28-29; p. 5, lines 22-24.

<sup>19</sup> Figs. 1, 2 – 114, 116, 118; p. 4, line 1 to p. 5, line 24.

<sup>20</sup> Fig. 3 – 128; p. 4, lines 7-10; p. 5, lines 22-30.



The server compiles reports in response to a user designation in the navigational frame of the different items to be compared<sup>21</sup>, and the visual display displays in each of the dynamic frames the different items designated to be compared so that the different items are observable at the same time<sup>22</sup>.

Claim 15:

Claim 15 is directed to an application for displaying comparative information about a plurality of different items in a visual image on a visual display<sup>23</sup>. The application comprises a first routine which contacts an information server to request reports on different items<sup>24</sup> designated by a user in a navigational frame in the visual image on the visual display<sup>25</sup>.

A second routine compiles the requested reports on the different designated items including frame sets corresponding to common topics<sup>26</sup>.

A third routine displays at substantially the same time<sup>27</sup> in each of a plurality of frames in the visual image, a frame set from each of the reports which corresponds to a common topic which is designated by the user in the navigational frame<sup>28</sup>.

---

<sup>21</sup> Fig. 3 – 128, “Request Reports on F1 & F2” and returned reports 132 and 134; p. 4, lines 7-10; p. 5, lines 22-30; Fig. 4 – 140; p. 6, lines 3-5.

<sup>22</sup> Fig. 1 – 116, 118, p. 4, lines 15-21; p. 5, lines 12-30; p. 9, lines 3-15; Figs. 3, 5A-5C.

<sup>23</sup> Figs. 1-4; p. 3, lines 28-29; p. 4, lines 11-30; p. 5, lines 12-30; p. 6, lines 1-7.

<sup>24</sup> Fig. 3 – 128, 132, 134; Fig. 4 – 138; p. 4, lines 7-10; p. 5, lines 22-28; p. 6, line 13 to p. 9 line 2.

<sup>25</sup> Fig. 1 – 114; Fig. 4 – 136; p. 4, lines 5-7, 11-13, 24-28; p. 5, lines 16-21; p. 6, lines 2-3;

<sup>26</sup> Fig. 3 – Report on F2 134, Report on F1 132; Fig. 4 – 140; p. 5, lines 26-30; p. 6, lines 3-5; p. 6, line 13 to p. 9 line 2.

<sup>27</sup> Fig. 1 – 116, 118; p. 4, lines 11-28; Fig. 3, reference numeral 100.

<sup>28</sup> Figs. 1-3 – 116, 118; p. 4, lines 11-23; p. 5, lines 12-21, 26-30; Fig. 4 – 142; p. 6, lines 5-7; p. 6, line 13 to p. 9 line 2.

**Grounds of rejection to be reviewed on appeal**

The issues on appeal are:

- (1) Whether claims 1 and 3 through 15 are unpatentable under 35 USC §102(e) as anticipated by Johnson et al., US Patent No. 6,067,525, (“Johnson et al.”).
- (2) Whether 103 claim 2 is unpatentable under 35 USC §103(a) over Johnson et al., US Patent No. 6,067,525, in view of Freidman et al., US Patent No. 6,360,188 B1, (“Freidman et al.”).

## **Argument**

The pending claims are directed to methods, apparatus and an application that provide in a visual display simple, quick and efficient comparisons of information about different items in a visual display. For example, in claim 1, a common tag is employed, in the information for each of the plurality of different items, to identify passages which relate to a category of information. As explained, for example, at p. 4, line 5 through p. 5, line 30, Figs. 1-3, and page 6, lines 9-12, Fig. 4, use of these common tags permits the passages associated with the common tag (relating to a category of information), to be quickly displayed in the associated display areas for the associated items, so that these tagged passages can be observed at the same time for the different items.

In the method of claim 7, for example, identifying tags are used to identify, in the information, portions of the information on common topics. A displayed image is provided which includes a navigational frame and a plurality of dynamic frames. Information about the different items is displayed simultaneously in the dynamic frames, as designated by the user by way of the navigational frame. An example of the interaction of the navigational and dynamic frames is provided in connection with Figs. 1-3, and at p. 4, line 5 through p. 5, of the subject application. Claim 12 recites similar features in the context of an apparatus including a visual display providing a visual image having an interactive navigational frame and a plurality of dynamic frames.

Claim 15, for example, recites an application which provides a visual image on a visual display that includes a navigational frame and a plurality of frames, and includes three routines. The recited third routine displays frame sets in the plurality of frames at substantially the same time. The frame sets are from each of requested reports about different items, and correspond to a common topic designated by the user in the navigational frame. The second routine in claim

15 compiles the requested reports. The requested reports are on the different items as designated by the user using the navigational frame in the first routine. As explained, for example, on page 5, lines 22-30, Fig. 3, and page 6, lines 1-12, Fig. 4, the reports 132 and 134 are compiled or set up by embedding anchor links (A-E) to sections within the reports. As a result, the displaying of requested sections in the plurality of frames can be done quickly and does not require going back to the server for the requested information.

As discussed in the following sections, the Examiner's rejections of claims 1, and 3-15 under 35 USC 102(e), and claim 2 under 35 USC 103(a), must be overturned. This is because the Examiner's primary reference, Johnson et al., does not teach or suggest one or more of the recited features of the claimed methods, apparatus or application, asserted by the Examiner as being taught by Johnson et al.

Rejection of claim 1: 35 USC 102(e) – Johnson et al.

The Examiner rejected claim 1 under 35 USC 102(e) as being anticipated by Johnson et al. See pages 2-3 of the Office Action.

However, Johnson et al. do not teach the “identifying with a common tag” step, the “providing a different display area” step, and the “displaying in each of the display areas” step, of claim 1. That is, Johnson et al. do not teach identifying with a common tag, passages in information for each of the different items, which passages relate to a category of information.

Of the various passages and figures the Examiner has cited in Johnson et al. in support of his position, the passage at col. 12, lines 42-65 is the most telling. That passage makes clear that Johnson et al. teach the use of “tags” which identify information after the fact. That is, for example, competitive comparisons which already have been generated and assembled by various modules are then tagged for ultimate incorporation into proposals and the like. Specifically,

Johnson et al. first describe how incorporation of the competitive comparison module 420 into the product information module 402, permits competitive comparisons to be provided with descriptions of the product<sup>29</sup>. Thereafter it is described how the product module 402 can export information to other modules, and that “the information generated may be tagged using the product module 402. . . .”

The product module 402, when incorporating the competitive comparison module 420, also provides the ability to present the company's product information side-by-side with a competitor's product information.

Col. 12, lines 43-46.

The product module 402 is integrated to the rest of the system via the event manager 201A and includes the capability of exporting a sample of any information to the proposal module 412 and/or presentation module 414 for use as described fully below. The information generated may be tagged using the product module 402 and automatically inserted as a section of a proposal generated using the proposal module 412.

6,067,525, col. 12, lines 58-65 (emphasis added). In other words, the tagging occurs after the fact, not as a part of creating the side-by-side comparison – the product module 402 tags the generated side-by-side comparison for export to the proposal module 412. Claim 1 reflects this difference:

“(a) identifying with a common tag, passages in the information for each . . .” (emphasis added) – the common tags are assigned before any side-by-side comparison is generated,

---

<sup>29</sup> The product comparison module 420 is said to generate side-by-side comparisons, but no information is provided as to how the product comparison module 420 accomplishes this:

For example, the competitive comparison module 420 may be incorporated into the product information module 402 such that competitive comparisons can be provided with descriptions of the product.

See, col. 12, lines 9-12.

“(b) displaying in each of the display areas the passages from each . . . identified by a designated common tag” – the common tags are then used to generate the side-by-side comparisons.

Nor do Johnson et al. teach displaying in a visual display, in different display areas provided for the different items, passages from each of the different items which are identified by a designated common tag. None of the figures or passages from Johnson et al. cited by the Examiner describe different display areas which display the designated tagged passages for each different item for observation at the same time. As indicated in the passage above from Johnson et al., the information generated (e.g. the side-by-side comparison) “may be tagged using the product module 402 and automatically inserted as a section of a proposal generated using the proposal module.” Col. 12, lines 62-65 (emphasis added). The words “inserted as a section” describe a single area with a single section. They do not describe “different display areas” displaying passages from information for different items.

The other passages cited by the Examiner in his rejection of claim 1 also do not support the rejection of claim 1 for the reasons set forth in the following table:

<b>Johnson et al. citation:</b>	<b>Cited for claim 1 feature:</b>	<b>What is actually disclosed.</b>
Figs. 3-4	Preamble, (a), (c)	Fig. 3 – block labeled “kiosk”; described in “Description of the Drawings” as “lead generation component” (see, col. 2, lines 66-67); Fig. 4 – blocks labeled “product information” and “competitive comparison”; described in “Description of the Drawings” as “time with customer component” (see, col. 3, lines 1-2). Does not describe the use of common tags to create simultaneous comparisons using displays in different display areas.
Fig. 8	Preamble, (c)	Various blocks; described in “Description of the Drawings” as “training component” (col. 3, lines 10-11). Does not describe the use of common tags to create

<b>Johnson et al. citation:</b>	<b>Cited for claim 1 feature:</b>	<b>What is actually disclosed.</b>
		simultaneous comparisons using displays in different display areas.
Col. 4, lines 20-35	Preamble	Describes “lead generation component 102”, mentions kiosk presentations, and a kiosk for gathering “information such as names, addresses, and product interests of potential customers,” but does not mention comparisons.
Col. 5, lines 13-30	Preamble	Among several modules, a “comparative presentation module” is mentioned, but there is no further description of what the module does or how it does it. Describes integration of modules.
Col. 13, lines 25-26	(a)	Describes the “customer module” and that customer information that has been collected “can also be tagged and printed as a section of a proposal.” There is no mention of common tags, or the use of such common tags to create a simultaneous comparison.
Col. 15, lines 58-67	(b), (c)	Describes a “payment calculation engine” and the “finance module,” and that the finance module allows the sales person “to display simultaneous comparison of various plans of any type and key elements of the plans.” However, there is no mention of the use of tags, much less common tags, to create such simultaneous comparisons in different display areas.
Col. 17, lines 13-17	(a)	States that “while using other modules of the system, information may have been tagged for use in a proposal,” but does not describe the use of common tags to create simultaneous comparisons using displays in different display areas.
Col. 17, lines 26-36	(a)	Describes automatic generation of follow-up to-do lists or automatic mailings based upon activities in the system.
Col. 35, lines 13-15	(a)	States that “specific types of information may be automatically tagged for inclusion in a presentation or proposal.” However, there is no mention of the use of tags, much less common tags, to create such simultaneous comparisons.

Rejection of claim 3: 35 USC 102(e) – Johnson et al.

Claim 3 depends from claim 1, and recites that the information about the different items is found in reports compiled for each of the plurality of items, and each of the common tags is an anchor link. The Examiner cited Johnson et al. as teaching such features, and asserted that “inserting the tags related to the product and only the selected information of that product will be

displayed side-by-side with the competitors product for comparing, col. 12 lines 43-65, and fig. 4, figs. 3-4 & 8.” (See p. 3, Office Action, second full paragraph.)

First of all, while the Examiner relies upon “tags” recited in Johnson et al., the Examiner has not pointed to any basis for equating the “tag” of Johnson et al. with the “anchor links” recited in the claim 3.

Second, as discussed in connection with claim 1 above, none of the cited passages or figures from Johnson et al. describe inserting tags in a report about an item prior to assembling a competitive comparison, much less using such tags to assemble the comparison. Rather, Johnson et al. teach assigning a tag to an generated competitive comparison so that such comparison can be incorporated into a proposal or presentation. See col. 12, lines 43-46, 58-65.

For at least those reasons, claim 3 is allowable over Johnson et al.

Rejection of claim 4: 35 USC 102(e) – Johnson et al.

Claim 4 depends from claim 3, which depends from claim 1, and further recites that the reports are compiled by an information server. In his rejection of claim 4, the Examiner cites to “a server-based back office system 200, col. 7 line 58 – col. 8 line 21.” (See Office Action, p. 3, third full paragraph.) However, this is inconsistent with his position for claim 3.

In his rejection of claim 3, the Examiner cited col. 12, lines 43-65 of Johnson et al. as teaching the recited preparation of “reports.” That passage describes product module 402, competitive comparison module 420, proposal module 412, and presentation module 414. Even if the Examiner were correct, and he is not, that this passage discloses the preparation of “reports” as recited in claim 3, the modules he cites as generating the reports for claim 3 are different, separate and distinct from the modules he identifies as generating the reports in claim 4. A review of Figures 2 and 4 makes clear that “server-based back office system 200” does not



incorporate product module 402, the competitive comparison module 420, the proposal module 412, or the presentation module 414. In particular, Figure 4 shows that it is the “time with customer” module 104 that incorporates modules 402, 420, 412, and 414. In fact, Figure 2 shows that the “time with customer” module 104 is found outside of “server-based back office system 200,” in a collection labeled with reference numeral 10.

Accordingly, claim 4 is patentable over Johnson et al. for the reasons set forth above for claims 1 and 3, and further because the Examiner’s rejection of the specific features recited in claim 4 does not find support in his citations to Johnson et al.

Rejection of claim 4: 35 USC 102(e) – Johnson et al.

Claim 5 depends from claim 4, which depends from claim 3, which in turn depends from claim 1, and further recites that the information server inserts the common tags into the reports. In rejecting claim 5, the Examiner cites to Johnson et al., asserting that “the tagged information product will be shown on the comparison module 420, col. 11 line 20-col. 12 line 65, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-15B.” (See Office Action, page 3, fourth full paragraph.)

As pointed out in the discussions of the rejection of claims 1, 3 and 4, Johnson et al., *inter alia*, do not teach the recited “reports,” nor an “information server” compiling such reports, nor the assigning of common tags before any comparison is generated, nor the use of such common tags to generate such comparison. In particular, Johnson et al.’s “server based back office system” 200 which the Examiner asserts is the “information server” recited in claim 4, is clearly not the modules (402, 420, 412, 414, or 404) which perform the described “tagging.”

Thus, the Examiner’s rejection of claim 5 is unsupported by Johnson et al.

Rejection of claim 6: 35 USC 102(e) – Johnson et al.

Claim 6 depends from claim 4, which depends from claim 3, which in turn depends from claim 1, and further recites that the information server is located remotely from the visual display. In rejecting claim 6, the Examiner cited Johnson et al. col. 11 lines 39-47, and asserted that “remote data source may be implemented in real-time utilizing two-way data sharing across a network communication provider.” (See Office Action, paragraph bridging pages 3 and 4.)

For the reasons set forth above in connection with the Examiner’s rejection of claims 1, 3 and 4, those claims are patentable over Johnson et al., and claim 6, as dependent from those claims are patentable over Johnson et al. for those reasons.

Rejection of claim 7: 35 USC 102(e) – Johnson et al.

In the method of claim 7, identifying tags are used which identify, in the information, portions of the information on common topics, and a displayed image is provided which includes a navigational frame and a plurality of dynamic frames. Information about the different items is displayed simultaneously in the dynamic frames, as designated by the user by way of the navigational frame.

The Examiner has asserted that Johnson et al. teaches the preamble of claim 7, including identifying tags that identify in the information the common topics, for the reasons he set forth in claim 1. (See Office Action, page 4, first full paragraph.) As discussed above, in connection with the Examiner’s rejection of claim 1, Johnson et al. simply do not teach the use of identifying tags to identify, in the information about different items, those portions on common topics. Instead, Johnson et al. describes a system in which tags are used to identify comparisons of information after such comparisons have been assembled, and not in the information about an item before such assembling. See col. 12, lines 43-46 and 58-65.

The Examiner has asserted that step (a) of claim 7 – “providing a navigational frame in the displayed image” – is disclosed in Johnson et al. by way of col. 21 lines 1-29 and col. 35 lines 25-49, to the effect that “the salesperson is able to view guidelines and recommendations for each step.” See Office Action, page 4, second full paragraph. For step (c) of claim 7 – “receiving in the navigational frame a user designation of the different items to be compared” – the Examiner points to Johnson et al. col. 12 lines 43-65 or col. 15 lines 58-67.

As is apparent from the Examiner’s characterization of col. 21, lines 1-29 and col. 35, lines 25-49, the described “objective management module 714” of col. 21, lines 1-29 purportedly provides information to the salesperson. This is not a “navigational frame” through which is received a “user designation of the different items to be compared,” as in claim 7. In other words, while claim 7 recites that the navigational frame is used to receive a designation from the user, the cited “objective management module” in Johnson et al. does the opposite – it provides information to the user.

Additionally, there is no apparent connection between the “objective management module 714” in col. 21 lines 1-29 and the product module, competitive comparison module 420, the proposal module 412, or the presentation module 414, of col. 12 lines 43-65, or the finance module 410 of col. 15 lines 58-67.

Further, these passages provide no disclosure of a “navigational frame” much less a navigation frame through which is received a user designation of different items to be compared. For example, Johnson et al. at col. 15 lines 64-68 states “[t]he finance module 410 also allows the salesperson to display simultaneous comparisons of various plans of any type and key elements of the plans or print the information in a report.” While this passage describes an end-result which may be similar to that achieved by the method of claim 7, the passage says nothing

about how that end result is achieved, and certainly makes no disclosure of a “navigational frame” nor “receiving in the navigational frame a user designation of the different items to be compared” as recited in claim 7.

For step (b) of claim 7 – “providing a plurality of dynamic frames in the displayed image”, the Examiner has cited col. 11 line 20 to col. 12, line 65, col. 5, lines 13-30, and figs. 4, 15A-15B, of Johnson et al. Yet none of these passages describe the use of a plurality of dynamic frames in the displayed image. For example, col. 12 lines 31-35 states “[t]he product information module 402 may include a number of viewers, engines and communications modules. The viewers may include a text view, graphics illustration view, a motion view, and a video and sound view.” However, these passages describe modules, not visual displays, and there is no description provided as to how the actual visual image is provided in any displayed image, much less that a plurality of dynamic frames is employed.

Finally, as to claim 7, step (d) – “displaying simultaneously in each of the dynamic frames information about the different items designated to be compared,” the Examiner has cited col. 12, lines 43-65 and fig. 4, or col. 15 lines 58-67, asserting that “a product module 402 is integrated to export a sample of any product information side-by-side with competitor’s product information by inserting tags using the product module 402 and automatically inserted as a section of a proposal generated using the proposal module 412.” According to the Examiner’s own characterization of the cited passages, Johnson et al.’s product module 402 is capable of exporting a generated side-by-side sample of product information into a section of a proposal by tagging the side-by-side sample for automatic insertion as a section in the proposal. This is clearly not a disclosure of “displaying simultaneously in each of the dynamic frames information about the different items designated to be compared” as recited in claim 7.

For all of the foregoing reasons, it is respectfully submitted that the Examiner's rejection of claim 7 is not supported by Johnson et al., and must be reversed.

Rejection of claim 8: 35 USC 102(e) – Johnson et al.

Claim 8 depends from claim 7, and further recites “receiving in the navigational frame a user designation of an identifying tag,” and “displaying in each of the dynamic frames the portion of the information on the designated different items to be compared corresponding to the designated identifying tag.” In rejecting claim 8, the Examiner referred to the rationale he set forth for claim 7. See Office Action, page 4, sixth full paragraph. As pointed out in connection with the Examiner's rejection of claim 7, the passages cited by the Examiner from Johnson et al. do not disclose navigational frames, or the use of a plurality of dynamic frames to form the displayed image. Given the absence in Johnson et al. of a “navigational frame,” it follows that Johnson et al. also do not disclose receiving a user designated identifying tag through a navigational frame. Given the absence in Johnson et al. of a plurality of dynamic frames to form the displayed image, Johnson et al. also do not disclose displaying in the dynamic frames the portion of the information on the designated different items corresponding to the designated identifying tag.

The Examiner's rejection of claim 8 therefore must be reversed.

Rejection of claim 9: 35 USC 102(e) – Johnson et al.

Claim 9 depends from claim 7, and further recites “compiling information about the plurality of items in a server located remotely from the visual display.” In rejecting claim 9, the Examiner referred to his rejection of claim 7, and to col. 11 lines 39-47, and col. 8 lines 22-44 of Johnson et al. See Office Action, paragraph bridging pages 4 and 5. However, while col. 11 lines 39-47 describe an “event manager 201A which provides intelligent integration of the

components of the system,” the passage says nothing about compiling information about the plurality of items in a server located remotely from the visual display. Similarly, while the passage at col. 8 lines 22-44 of Johnson et al. states “[t]he kiosk module 302 may run disconnected from any remote data source or may be implemented in real-time utilizing two-way data sharing across a network communications provider,” the passage says nothing about compiling information about the plurality of items in a server located remotely from the visual display.

The Examiner’s rejection of claim 9 therefore must be reversed.

Rejection of claim 10: 35 USC 102(e) – Johnson et al.

Claim 10 depends from claim 9, which in turn depends from claim 7, and recites “(a) sending a request to the server for reports about the different items designated in the navigational frame,” “(b) compiling in the server the requested reports,” and “(c) communicating the requested reports to the visual display.” The Examiner rejected claim 10 based upon his rejection of claim 9. For step (a) of claim 10 the Examiner asserted that col. 4 lines 28-36 disclosed that “the sales process is stored and retrieved for a database.” See Office Action, page 5. The “sale process” disclosed in col. 4 lines 28-36 of Johnson et al. is described as “data developed and used during the lead generation phase of the sales process,” such as “names, addresses, and product interests of potential customers.” See col. 4 lines 28-29 and 32-33. These data clearly are not “reports about the different items designated in the navigational frame” as recited in claim 10, step (a).

For step (b) – “compiling in the server the requested reports” – the Examiner asserted that in Johnson et al. at col. 9 lines 31-38 “a report manager tool is also provided in the system administration subsystem 215 to handle audit reports, data books and other documents.” See

Office Action page 5. However, this passage refers to the “back office system 200.” As pointed out earlier in connection with the discussion of the Examiner’s rejection of claim 4, the back office system 200 does not include the modules which the Examiner asserts are responsible for assembling the reports of interest.

For step (c) – “communicating the requested reports to the visual display” – the Examiner asserted “the tagged information product will be shown on the comparison module 420, col. 12 lines 43-65, and fig. 4, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-B, e.g., col. 17 lines 15-38, and figs. 15A-C.” (See Office Action page 5.) First of all, the cited passages do not state that the “comparison module 420” is capable of showing the tagged information product as asserted by the Examiner. (Compare col. 12 lines 43-46.) Second, the cited passage clearly states that “the information generated may be tagged using the product module 402 and automatically inserted as a section of a proposal using the proposal module 412” (emphasis added), and does not state that the information product is tagged before it is used in the comparison module. (See col. 12 lines 62-65.) The Examiner’s other citations from Johnson et al., likewise, do not disclose “communicating the requested reports to the visual display” as recited in claim 10: col. 13 lines 24-35 (tagging of collected customer information), figs. 3-4, 8, 15A-B, e.g., col. 17 lines 15-38 (generalized statement of what the system can do), and figs. 15A-C.

Therefore, for the foregoing reasons, Johnson et al. do not disclose the method of claim 10, and the Examiner’s rejection of claim 10 must be reversed.

Rejection of claim 11: 35 USC 102(e) – Johnson et al.

Claim 11 depends from claim 10, which depends from claim 9, which in turn depends from claim 7. Claim 11 recites that “the compiling step includes the step of assembling frames for the reports corresponding to each of the portions on the common topics.” The Examiner’s rejection of claim 11 asserted that in Johnson et al. “the tagged information product will be shown on the comparison module 420, col. 12 lines 43-65, and fig. 4, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-B, col. 12 lines 43-65 or col. 15 lines 58-67.” (See Office Action page 5, second to the last full paragraph.)

First of all, claim 11 recites “assembling frames for the reports.” None of the passages cited by the Examiner describes such assembling of frames. Second, as pointed out in connection with claim 7, from which claim 11 ultimately depends, Johnson et al. do not disclose displaying simultaneously in each of the dynamic frames, information about the different items designated [through the navigational frame] to be compared. These are the designated items to which the reports correspond, and for which frames are assembled in the server. Johnson et al. do not teach such a relationship between a navigational frame, designated items, and assembled frames.

It is for these reasons, in addition to the reasons for patentability of claims 7, 9 and 10 over Johnson et al. set forth earlier, claim 11 is patentable over Johnson et al. Accordingly, the Examiner’s rejection of claim 11 must be reversed.

Rejection of claims 12-14: 35 USC 102(e) – Johnson et al.

Claims 12 -14 are apparatus claims. The Examiner has rejected these claims based upon his rejections of method claims 7-8 and 10.



Claim 12 is directed to an apparatus including a visual display providing a visual image having an interactive navigational frame and a plurality of dynamic frames, a server which is communicatively coupled to the visual display and which stores information about the plurality of different items being compared, and compiles reports in response to a user designation in the navigational frame. The visual display displays in each of the dynamic frames the different items designated to be compared so that the different items are observable at the same time.

For the same reasons set forth above in connection with the Examiner's rejection of claims 7-8 and 10, Johnson et al. do not disclose the "navigational frame," nor the "plurality of dynamic frames," nor the "user designation in the navigational frame of the different items to be compared" recited in claim 12. Likewise, Johnson et al. do not disclose the server that compiles reports in response to a user designation in the navigational frame as recite in claim 12.

Rejection of claim 13: 35 USC 102(e) – Johnson et al.

Claim 13 depends from claim 12, and further recites that the "reports compiled by the server comprise frames of information about the designated different items in which each frame corresponds to portions of the information relating to common topics and include identifying tags." As set forth earlier herein concerning the Examiner's rejection of claim 11, Johnson et al. do not teach reports for each item compiled by the server which have frames of information about the designated different items. Further, none of the passages cited by the Examiner from Johnson et al. disclose that "each frame corresponds to portions of the information relating to common topics and include identifying tags" as recited in claim 13. Johnson et al. teach tagging a comparison after the comparison has been assembled.

Rejection of claim 14: 35 USC 102(e) – Johnson et al.

Claim 14 depends from claim 13, which in turn depends from claim 12. Claim 14 further recites that “in response to a user designation of an identifying tag the visual display displays in each of the plurality of dynamic frames the frames from the reports for the designated different items corresponding to the designated identifying tag.” For reasons similar to those set forth earlier herein regarding the Examiner’s rejection of claim 8, Johnson et al. do not teach such a displaying of report frames in the dynamic frames, which report frames correspond to the designated identifying tag. First, Johnson et al. do not disclose a “navigational frame” through which the designated identifying tag can be received. Second, Johnson et al. do not disclose the use of identifying tags prior to assembling a comparison. Third, Johnson et al. do not disclose assembling from the report on the different items, the report frames which correspond to the designated identifying tag. Johnson et al. teach tagging a comparison after the comparison has been assembled.

For the foregoing reasons, claims 12-14 are patentable over Johnson et al., and the Examiner’s rejection of claims 12-14 must be reversed.

Rejection of claim 15: 35 USC 102(e) – Johnson et al.

Independent claim 15, recites an application which provides a visual image on a visual display that includes a navigational frame and a plurality of frames. The recited third routine displays in the plurality of frames at substantially the same time the frame sets (from each of requested reports about different items) which corresponds to a common topic designated by the user in the navigational frame. The second routine compiles the requested reports on the different designated items including frame sets corresponding to common topics. The first

routine contacts an information server to request reports on different items that have been designated by a user in a navigational frame that is in the visual image on the visual display.

The Examiner has rejected claim 15 based upon the rationale that he set forth for claim 10. See Office Action, page 6, first full paragraph.

A comparison between claim 10 and claim 15 reveals, however, that claim 10 and claim 15 differ. For example, the second routine of claim 15 compiles “frame sets corresponding to common topics,” while claim 10 does not recite such a feature. As another example, the third routine of claim 15 “displays at substantially the same time in each of a plurality of frames in the visual image a frame set from each of the reports which corresponds to a common topic which is designated by the user in the navigational frame,” while claim 10 does not recite such a feature. Accordingly, it is respectfully submitted that the Examiner’s rationale for rejecting claim 10 does not fully address claim 15.

As discussed earlier, the passages and figures cited Examiner from Johnson et al. teach tagging information, such as a comparison, after such comparison has been compiled by a module, and then using that information in a report or presentation. In contrast, claim 15 recites compiling reports for each different item, including compiling frame sets corresponding to the common topics, and then displaying in each of a plurality of frames the frame set for the common topic designated by the user from each of the reports. In other words, in the operation of the application of claim 15, the comparison is obtained by displaying in one frame of the visual display a frame set from a report compiled for an item, and simultaneously displaying in another frame of the visual display the frame set from a report compiled for another item, where the frame set displayed for each item corresponds to the user-designated common topic. It is the user, by indicating a common topic in the navigational frame, who decides what information

(corresponding to the indicated common topic) for the different items is to be displayed in the visual display and therefore compared for the different items. Further, because the user designates through the navigational frame, the different items of interest, the items which are compared can easily be varied. The user is thereby permitted to easily and quickly view comparisons between different items for different common topics. In contrast, in the system of Johnson et al. does not provide for such navigational flexibility because the comparisons are compiled, and therefore fixed, before tags are assigned. In Johnson, et al., whether a comparison is available between particular items for a particular topic will depend upon what comparisons were previously compiled. The methodology and flexibility provided in the application of claim 15 is clearly not available in Johnson et al.

Thus, for the foregoing reasons, in addition to the reasons set forth earlier in this brief why Johnson et al. does not teach the features of claim 10, claim 15 is patentable over Johnson et al., and the Examiner's rejection of claim 15 must be reversed.

Rejection of claim 2: 35 USC 103(a) – Johnson et al. in view of Freidman et al.

Claim 2 depends from claim 1 and recites that the plurality of different items are investments and the information being compared is information about the investments.

The Examiner rejected claim 2 under 35 USC 103(a) as unpatentable over Johnson et al. in view of Freidman et al. See Office Action, page 6. The Examiner cites Freidman et al. as teaching banking information and investments, and repeats his reasons for rejecting claim 1 based upon Johnson et al.

As set forth above in connection with claim 1, Johnson et al do not teach the features of claim 1. Therefore, even if there was motivation to combine Freidman et al and Johnson et al.,

which is not conceded by applicant, such combination would not result in the combination of claim 2.

For that reason, the Examiner's rejection of claim 2 must be reversed.

**Conclusion**

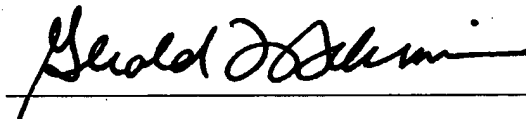
For the reasons set forth above, Johnson et al. do not teach or suggest the invention claimed in claims 1, and 3-15, nor does the combination of Johnson et al. and Freidman et al. result in the invention in claim 2. Applicant respectfully submits that the rejections based upon 35 USC §102(e) and 103(a) are in error and requests the Board to reverse the Examiner's rejections and to affirm the patentability of the claims on appeal.

Respectfully submitted,

DLA Piper Rudnick Gray Cary US LLP

Dated: April 10, 2006

By:



Gerald T. Sekimura  
Reg. No. 30,103  
Attorneys for Applicant

ATTN: Patent Department  
DLA Piper Rudnick Gray Cary LLP  
153 Townsend Street, Suite 800  
San Francisco, CA 94107-1957  
Tel: (415) 836-2500  
Fax: (415) 836-2501

**Claims appendix page(s)**

**Listing of Claims:**

1. (previously presented) A method for comparing information from a plurality of different items on a visual display, comprising the steps of
  - (a) identifying with a common tag, passages in the information for each of the plurality of different items which relate to a category of information;
  - (b) providing a different display area in the visual display for each of the plurality of different items; and
  - (c) displaying in each of the display areas the passages from each of the plurality of different items which are identified by a designated common tag, so that the passages are observable at the same time.
2. (previously presented) The method of claim 1 wherein the plurality of different items are investments and the information being compared is information about the investments.
3. (previously presented) The method of claim 1 wherein the information about the plurality of different items is found in reports compiled for each of the plurality of items, and each of the common tags is an anchor link.
4. (original) The method of claim 3 wherein the reports are compiled by an information server.
5. (original) The method of claim 4 wherein the information server inserts the common tags into the reports.

6. (original) The method of claim 4 wherein the information server is located remotely from the visual display.

7. (previously presented) A method of providing comparative information in an image displayed by a visual display about a plurality of different items, wherein information about the plurality of different items includes portions relating to common topics, and further wherein the portions on common topics are identified in the information by identifying tags, the method comprising the steps of

- (a) providing a navigational frame in the displayed image;
- (b) providing a plurality of dynamic frames in the displayed image;
- (c) receiving in the navigational frame a user designation of the different items to be compared;
- (d) displaying simultaneously in each of the dynamic frames information about the different items designated to be compared.

8. (previously presented) The method of claim 7 further including the steps of

- (a) receiving in the navigational frame a user designation of an identifying tag;
- (b) displaying in each of the dynamic frames the portion of the information on the designated different items to be compared corresponding to the designated identifying tag.

9. (original) The method of claim 7 further including the step of compiling the information about the plurality of items in a server located remotely from the visual display.

10. (previously presented) The method of claim 9 further including the steps of

- (a) sending a request to the server for reports about the different items designated in the navigational frame;

- (b) compiling in the server the requested reports; and
- (c) communicating the requested reports to the visual display.

11. (original) The method of claim 10 wherein the compiling step includes the step of assembling frames for the reports corresponding to each of the portions on the common topics.

12. (previously presented) An apparatus for providing comparative information about a plurality of different items, including

a visual display providing a visual image having an interactive navigational frame and a plurality of dynamic frames;

a server communicatively coupled to the visual display and storing information about the plurality of different items;

wherein the server compiles reports in response to a user designation in the navigational frame of the different items to be compared, and wherein the visual display displays in each of the dynamic frames the different items designated to be compared so that the different items are observable at the same time.

13. (previously presented) The apparatus of claim 12, wherein the reports compiled by the server comprise frames of information about the designated different items in which each frame corresponds to portions of the information relating to common topics and include identifying tags.

14. (previously presented) The apparatus of claim 13, wherein in response to a user designation of an identifying tag the visual display displays in each of the plurality of dynamic frames the frames from the reports for the designated different items corresponding to the designated identifying tag.



15. (previously presented) An application for displaying comparative information about a plurality of different items in a visual image on a visual display, comprising

a first routine which contacts an information server to request reports on different items designated by a user in a navigational frame in the visual image on the visual display;

a second routine which compiles the requested reports on the different designated items including frame sets corresponding to common topics; and

a third routine which displays at substantially the same time in each of a plurality of frames in the visual image a frame set from each of the reports which corresponds to a common topic which is designated by the user in the navigational frame.

**Evidence appendix page(s)**

1. Application and drawings
2. Final Official Action
3. Reference 1 -- 6,067,525 to Johnson et al.
4. Reference 2 -- 6,360,188 to Freidman et al.

**Related proceedings appendix page(s)**

There are no related proceedings.

PATENT

## SYSTEM AND METHOD FOR COMPARING ATTRIBUTES OF DOCUMENTS

5 Inventors: Christopher Kershaw  
Darin Rock  
Terri Wolf

**TECHNICAL FIELD**

The present invention is directed generally to a system and method for comparing attributes of documents, and more particularly to a system and method using a browser to retrieve and compare  
10 categories of information for different items being compared.

**BACKGROUND OF THE INVENTION**

Presently, when brokerage company customer representatives seek to advise customers about investments using present systems and methods, it is often difficult for them to respond to customer questions  
15 about the relative characteristics of different mutual funds, for example. At present, in order to compare and contrast many of the important details of mutual funds, it is necessary to switch back and forth between multiple web pages to review relevant information for different funds.

In the prior art, such as that available on "schwab.com," the  
20 website of the assignee of the subject application, a user can compare up to five (5) funds at a time, however, only summary information is available for such comparison. To access a full report on a fund, the user needs to click on the fund name, which brings up the fund report. However, to view the report for another fund, the user needs to click on  
25 that fund's name, which brings up that other fund's report in place of the previous report. Alternatively, the user can toggle between windows, each of which has the website on a browser, but pointed at the reports of different funds.

As can be appreciated, these prior methods for comparing  
30 information are cumbersome and time consuming to use.

## **SUMMARY OF THE INVENTION**

The above and other problems and disadvantages of prior systems and methods are overcome by the present invention of a system and method for comparing information from different sources in which anchor links identifying categories of information are embedded within reports on a plurality of items to be compared, and in which a plurality of dynamic frames are provided in a visual display, each frame displaying the portion of a report for a different one of the plurality of items to be compared, which portion corresponds to a designated common anchor link.

In one embodiment of the present invention, a client terminal displays a navigational frame which interacts with the plurality of dynamic frames and with a server. Identification of the items to be compared is received through the navigational frame, and the client terminal communicates with the server to cause the server to provide reports on the identified items. These reports include embedded anchor links which identify, and are placed at the location of, categories of information contained in the reports. Also received through the navigational frame is the designation of an anchor link selected by the user for viewing. Upon receipt by the client terminal of the reports from the server, the portion of each report corresponding to the designated anchor link are displayed in the plurality of dynamic frames, each one of the plurality of dynamic frames displaying the information for a different one of the reports.

The use of dynamic frames and anchor links embedded within the information permits a simultaneous comparison, on a single screen, of common categories of information about a plurality of different items, such as different mutual funds. Not only is the comparison simultaneous, but the user is also able to navigate to other common

categories of information about the different items simply by clicking on the desired category in the navigational frame. The display provided in dynamic frames is then shifted to the location of the designated anchor link in each of the reports being display. In this manner, a simple, quick  
5 and efficient method and system for comparing information about different items is provided.

These and other features and advantages of the present invention will be more readily understood upon consideration of the following detailed description and accompanying drawings.

10

#### BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 illustrates the navigational frame and the dynamic frames of a two-fund comparison embodiment of the present invention.

Fig. 2 illustrates the relationship between the items and anchor  
15 links designated in the navigational frame and the anchor links embedded in the reports on the designated items, and the portions of the reports which are displayed in the dynamic frames, in accordance with the present invention.

Fig. 3 illustrates the interaction between a client terminal, on  
20 which the navigational frame and dynamic frames are displayed, and a server and database in which information about items are located and assembled into reports.

Fig. 4 illustrates the steps involved in the operation of one embodiment of the present invention.

25 Figs. 5A, 5B and 5C are screen shots showing an illustrative example of the operation of the present invention.

#### DETAILED DESCRIPTION OF THE INVENTION

Referring to Fig. 1, a typical browser window is shown incorporating an embodiment of the present invention is illustrated.

Below the browser tools bars 110 and 112, are positioned a navigation frame 114, and two dynamic frames 116 and 118. While these frames are shown stacked with respect to one another, it is to be understood that other layouts are possible in the spirit of the present invention.

5           On the left side of navigational frame 114 are two input slots 120 and 122 through which the user identifies the items, in this example Funds or Stocks, to be compared. The GO button initiates the information retrieval process through which reports for the designated funds are requested from a server and returned for display in the  
10       dynamic frames 116 and 118.

          The particular portion of a report displayed in a dynamic frame is designated by the particular anchor link selected by the user in the anchor link section 124 of navigational frame 114. As illustrated in the example of Fig. 1, in heavier lines, Anchor Link E has been selected by  
15       the user. In turn, the portion of the Fund 1 Report associated with anchor link E is shown displayed in dynamic frame 116, while the portion of the Fund 2 Report associated with anchor link E is shown displayed in dynamic frame 118. For example, anchor link E may be associated with the portions of each report which cover After Tax  
20       Returns for the particular mutual funds. Thus, the user can compare, for the two designated mutual funds their After Tax Return information, all in one view, and without having to toggle or flip back and forth between windows.

          By clicking on a different anchor link in navigational frame 114,  
25       for example on Anchor Link I, which may be assigned to Fees/Expenses for the funds, the user will be provided with the Fees/Expenses portion of the report for Fund 1 in dynamic frame 116, and the Fees/Expenses portion of the report for Fund 2 in dynamic frame 118. Although not shown in Fig. 1, it is to be understood that a scroll bar can be provided  
30       in each of the dynamic frames 116 and 118, through which the user can

move around within the report being displayed for the particular fund in the frame.

It is to be understood that, although the examples provided in this description involve funds, mutual funds, stocks, etc., other items about which information is available in electronic form can be the subject of the present invention methodology and system. For example fact sheets on deals offered on an automobile model by two different automobile dealerships can be easily and efficiently compared using the present invention. The only requirement is that the various reports have sections on common subjects, and are modified to include the appropriate anchor link for each section.

Referring to Figs. 2 and 3, the above arrangement will now be described in greater detail. As described earlier, the items designated in slots 120 and 122 of navigational frame 114 result in reports for those items being obtained for displaying in the dynamic frames 116 and 118. However, it is the anchor link section 124 of navigational frame 114 through which the user designates the desired section of each report to be displayed for comparison purposes in dynamic frames 116 and 118. This is illustrated by the dashed lines depicting dynamic frames 116 and 118 being positioned over the portion of each of the report which correspond to anchor link E in Fig. 2.

Fig. 3 shows the client terminal 126 which displays the navigational and dynamic frames, and the resulting comparison 100 provided by the present invention. When the GO button is clicked in Fig. 1, the client terminal 126 sends out a request for the reports on fund 1 and fund 2. This request is received by server 128, which in turn constructs a frame set from information obtained from fund information database 130. After the frame sets have been assembled for each fund, the reports (frame sets) 132 and 134 are sent back to the client terminal 126.



Fig. 4 illustrates the above methodology. In block 136, the user designates funds and the feature to be compared. In step 138 the client terminal request the designated reports from the server 128. In step 140, the server 128 constructs the frame set and returns reports having  
5 embedded anchor links. In step 142, the client browser executes a java script to pull designated linked portions into dynamic frames 116 and 118. Finally, in step 144, the user clicks on another anchor link in the navigational frame 114 to browse to another one of the available sections of information of the funds being compared. Because the  
10 reports received from the server 128 are set up with anchor links embedded, it is a simple matter to quickly display the requested sections without having to go back to the server 128 for the desired information.

The pertinent code utilized to implement the above functionality in an internet browser, such as the Netscape browser manufactured by  
15 NetScape Communications, of Mountain View, California, is provided as follows, wherein the lines preceded by double slashes "//" are comments:

```
//allows you to go to two frames at once  
20 //javascript counts the frames in order starting with ), in case you're  
   wondering why it's frame 2 and 3  
  
function go(url,where,url2,where2){  
    if (where == "_top") parent.top.location.href = url;  
25    else if (where == "frame2") parent.top.frames[2].location.href =  
url;  
    if (where2 == "_top") parent.top.location.href = url2;  
    else if (where2 == "frame3") parent.top.frames[3].location.href  
= url2;  
30  
}
```

```
//script to auto load Fund Detail when this file loads, so it won't have to
re-load it the
5 //first time you use the anchor-based navigation

javascript:go(`/rootMFC09/MFCTmp/MFCTmpFundDetail.morph','frame2',
'/rootMFC09/MFCTmp/MFCTmpFundDetail.morph','frame3');

10 //script to call the Fund Detail templates(s) to the local links within the
two separate frames

<TD VALIGN=top><FONT SIZE="1" FACE="helvetica, arial"><A
15 HREF="javascript:go(`/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#
P','frame2','/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#P','frame3'
)">Performance</A><BR>
<A
HREF="javascript:go(`/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#
20 FC','frame2','/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#FC','fram
e3')">Fund Comparison</A><BR>
<A
HREF="javascript:go(`/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#
PQ','frame2','/rootMFC09/MFCTmp/MFCTmpFundDetail.morph#PQ','fram
25 e3')">Performance Quartile</A><FONT></TD>
```

As will be readily understood by one skilled in Javascript and HTML programming, the function "go" allows the program to go to two frames, "frames[2]" and "frames[3]", at once. The javascript processes the user input from the navigational frame 114, and provides a response in each of the dynamic frames 116 and 118. The "response" for

"frames[2]" is that the frame 116 is navigated to the specified "url"; and the response for "frames[3]" is that the frame 118 is navigated to the specified "url2." The specified "url" and "url2" include the anchor link tag clicked on by the user in navigational frame 114, so that the portion  
 5 of the reports associated with that anchor link tag are displayed in frames 116 and 118. This is the engine which drives multiple locations.

In accordance with the function "go," the variables "where" and "where2" are checked to see if they have a value indicating the top frame of the display. If that is the case, then the information displayed  
 10 is obtained from the location "url" or "url2", respectively.

If, on the other hand, "where" has the value of "frame2", the program assigns to "parent.top.frames[2].location.href", for example, the value of "url" appearing in the argument of the function "go", and displays that information in dynamic frame 116. Likewise, if "where2"  
 15 has the value of "frame3", the program assigns to "parent.top.frames[3].location.href", for example, the value of "url2" appearing in the argument of the function "go". The terms "frame[2]" and "frame[3]" are entries in a frame array.

The javascript portion beginning with "javascript:go( ..." sets up  
 20 the communication between the dynamic frames 116 and 118 and avoids another link each time a different anchor link is selected by the user. As indicated by the comments, this script auto loads the reports on the selected items, so that a re-load will not be needed the first time the anchor link based navigation is first used. It is to be noted that the  
 25 argument has been set up for the "go" function.

The second part of the javascript, beginning with "<TD VALIGN=opt>< . . . " calls the desired portions of the reports into the dynamic frames. Shown in the code reproduced above are calls to three different anchor links: #P, #FC, and #PQ. In the example illustrated  
 30 which is directed to information on mutual funds, "#P" is the anchor link tag corresponding to "performance" section of the reports; "#FC"

corresponds to the "fund comparisons" part of the reports; and "#PQ" corresponds to the "performance quartile" portion of the reports.

Figs. 5A, 5B and 5C are screen shots showing an illustrative example of the operation of the present invention. It is to be noted that while in this example the report for the same fund is shown in both dynamic frames, in actual use information for different funds will typically be presented in each dynamic frame. Fig. 5A shows the dynamic frames 116 and 118 displaying the "fund details" portion of the reports for the designated mutual fund GABSX. In practice, GABSX would be entered by the user in box 120, Fig. 1, and the name for a different fund would be entered by the user in box 122. The user would select one of the anchor tags 124, for example "after tax returns," in the navigational frame 114. In response to this selection, the "after tax returns" portion of the reports for the designated funds would be displayed in dynamic frames 116 and 118. See for example, Fig. 5B.

**WHAT IS CLAIMED IS:**

1. A method for comparing information from a plurality of items on a visual display, comprising the steps of
  - 5 (a) identifying with a common tag, passages in the information for each of the plurality of items which relate to substantially similar subject matter;
  - (b) providing a different display area in the visual display for each of the plurality of items; and
  - 10 (c) displaying in each of the display areas the passages from each of the plurality of items which are identified by a designated common tag.
2. The method of claim 1 wherein the plurality of items are
  - 15 securities and the information being compared is information about the securities.
3. The method of claim 1 wherein the information about the plurality of items is found in reports compiled for each of the plurality of items, and each of the common tags is an anchor link.
- 20 4. The method of claim 3 wherein the reports are compiled by an information server.
5. The method of claim 4 wherein the information server inserts the common tags into the reports.
6. The method of claim 4 wherein the information server is located
  - 25 remotely from the visual display.

7. A method of providing comparative information in a visual display about a plurality of items, wherein information about the plurality of items includes portions relating to common topics, and further wherein the portions on common topics are identified in the information by
- 5 identifying tags, the method comprising the steps of
- (a) providing a navigational frame;
  - (b) providing a plurality of dynamic frames;
  - (c) receiving in the navigational frame a user designation of the items to be compared;
  - 10 (d) displaying in each of the dynamic frames the items designated to be compared.
8. The method of claim 7 further including the steps of
- (a) receiving in the navigational frame a user designation of an identifying tag;
  - 15 (b) displaying in each of the dynamic frames the portion of the information on the designated items to be compared corresponding to the designated identifying tag.
9. The method of claim 7 further including the step of compiling the information about the plurality of items in a server located remotely
- 20 from the visual display.
10. The method of claim 9 further including the steps of
- (a) sending a request to the server for reports about the items designated in the navigational frame;
  - (b) compiling in the sever the requested reports; and
  - 25 (c) communicating the requested reports to the visual display.

11. The method of claim 10 wherein the compiling step includes the step of assembling frames for the reports corresponding to each of the portions on the common topics.
12. An apparatus for providing comparative information about a plurality of items, including
- 5 a visual display having an interactive navigational frame and a plurality of dynamic frames;
- a server communicatively coupled to the visual display and storing information about the plurality of items;
- 10 wherein the server compiles reports in response to a user designation in the navigational frame of the items to be compared, and wherein the visual display displays in each of the dynamic frames the items designated to be compared.
13. The apparatus of claim 12, wherein the reports compiled by the sever comprise frames of information about the designated items in which each frame corresponds to portions of the information relating to common topics and include identifying tags.
- 15
14. The apparatus of claim 13, wherein in response to a user designation of an identifying tag the visual display displays in each of the plurality of dynamic frames the frames from the reports for the designated items corresponding to the designated identifying tag.
- 20
15. An application for displaying comparative information about a plurality of items on a visual display, comprising
- a first routine which contacts an information server to request reports on items designated by a user in a navigational frame on the visual display;
- 25

a second routine which compiles the requested reports on the designated items including frame sets corresponding to common topics; and

- 5 a third routine which displays in each of a plurality of frames a frame set from each of the reports which corresponds to a common topic which is designated by the user in the navigational frame.



## **ABSTRACT OF THE DISCLOSURE**

- A system and method for comparing information from different sources in which anchor links identifying categories of information are embedded within reports on a plurality of items to be compared, and in
- 5 which a plurality of dynamic frames are provided in a visual display, each frame displaying the portion of a report for a different one of the plurality of items to be compared, which portion corresponds to a designated common anchor link.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUPPLEMENTAL  
DECLARATION FOR UTILITY  
OR DESIGN  
PATENT APPLICATION  
(37 CFR 1.67)**

**Attorney Docket Number** 1030925-910800

**First Named Inventor** Christopher Kershaw

**COMPLETE IF KNOWN**

**Application Number** 09/598,889

**Filing Date** June 21, 2000

**Art Unit** 2174

**Examiner Name** Truc T. Chuong

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SYSTEM AND METHOD FOR COMPARING ATTRIBUTES OF DOCUMENTS**

the specification of which

(Title of the Invention)

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

**June 21, 2000**

as United States Application Number or PCT International

Application Number

**09/598,889**

and was amended on (MM/DD/YYYY)

I hereby declare that the subject matter of the ☐ attached amendment ☐ amendment filed on  was part of my or our invention and was invented before the filing date of the original application, above identified for such invention.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed		Certified Copy Attached?	
			YES	NO	YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.


**SUPPLEMENTAL DECLARATION — UTILITY OR DESIGN PATENT APPLICATION**Direct all correspondence to: ☒ Customer Number or Bar Code Label 29585 OR ☐ Correspondence address belowName **Gerald T. Sekimura (Reg. No. 30,103)**Address **153 Townsend Street, Suite 800**

Address

City **San Francisco**State **CA**ZIP **94107**Country **USA**Telephone **(415) 836-2500**Fax **(415) 836-2501**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:

☐ A petition has been filed for this unsigned inventorGiven Name **Christopher**Family Name or Surname **Kershaw**Inventor's Signature Date **9/25/03**

Residence: City

**Oakland**

State

**CA**

Country

**USA**

Citizenship

**USA**

Mailing Address

**101 Montgomery Street, SF 120KNY-19-355**

Mailing Address

City

**San Francisco**

State

**California**

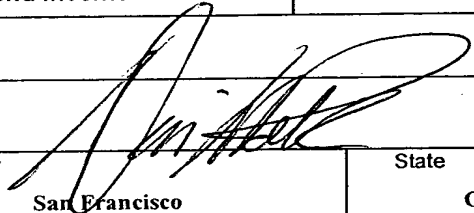
ZIP

**94107**

Country

**USA**

Name of Second Inventor:

☐ A petition has been filed for this unsigned inventorGiven Name **Darin**Family Name or Surname **Rock**Inventor's Signature Date **9/25/03**

Residence: City

**San Francisco**

State

**CA**

Country

**USA**

Citizenship

**USA**

Mailing Address

**101 Montgomery Street, SF 120KNY-21-341**

Mailing Address

City

**San Francisco**

State

**CA**

ZIP

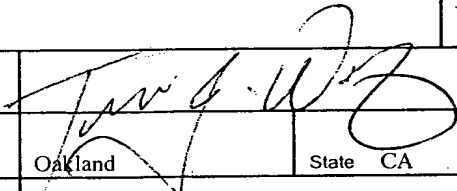
**94104**

Country

**USA**☒ Additional inventors or a legal representative are being named on 1 supplemental sheet(s) PTO/SB/02A or 02LR attached

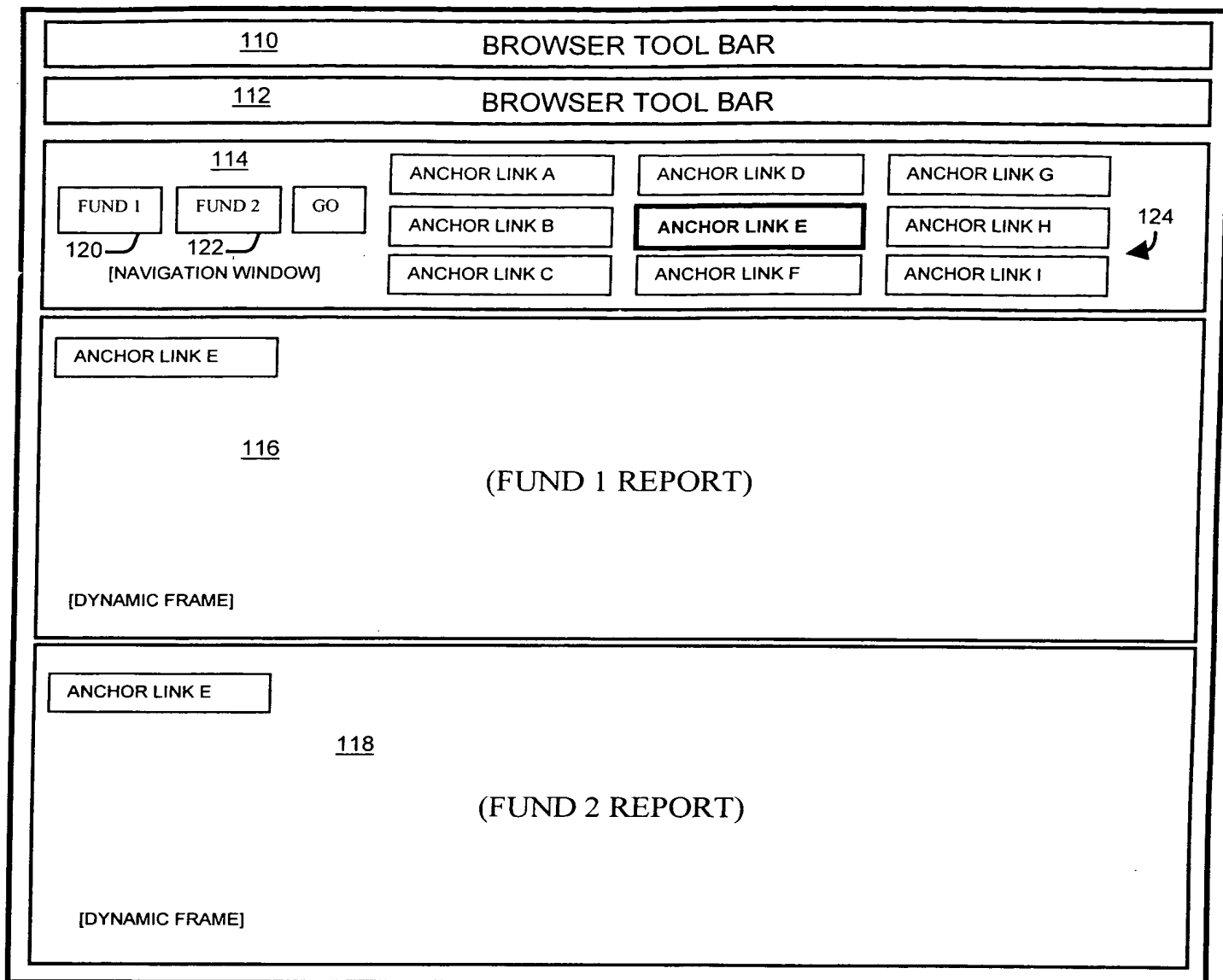
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 1 of 1

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Terri		Wolf	
Inventor's Signature			Date <u>9/23/03</u>
Residence: City	Oakland	State	CA
		Country	USA
Mailing Address	101 Montgomery Street		
Mailing Address	SF 120KNY-21-33		
City	San Francisco	State	CA
		ZIP	94104
		Country	USA
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature			Date
Residence: City		State	
		Country	
Mailing Address			
Mailing Address			
City		State	
		ZIP	
		Country	
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature			Date
Residence: City		State	
		Country	
Mailing Address			
Mailing Address			
City		State	
		ZIP	
		Country	

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



100 ↗

FIG. 1

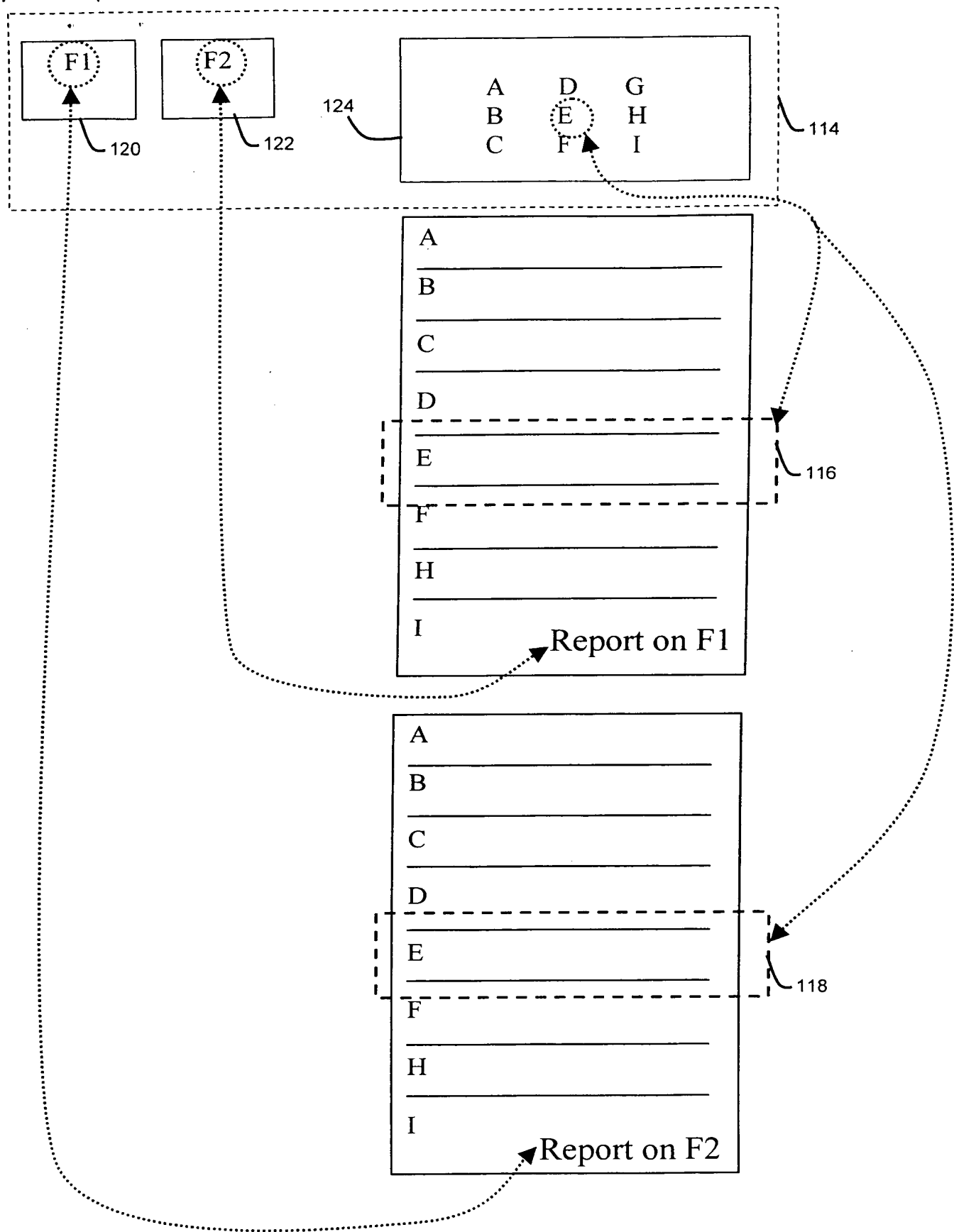


FIG. 2

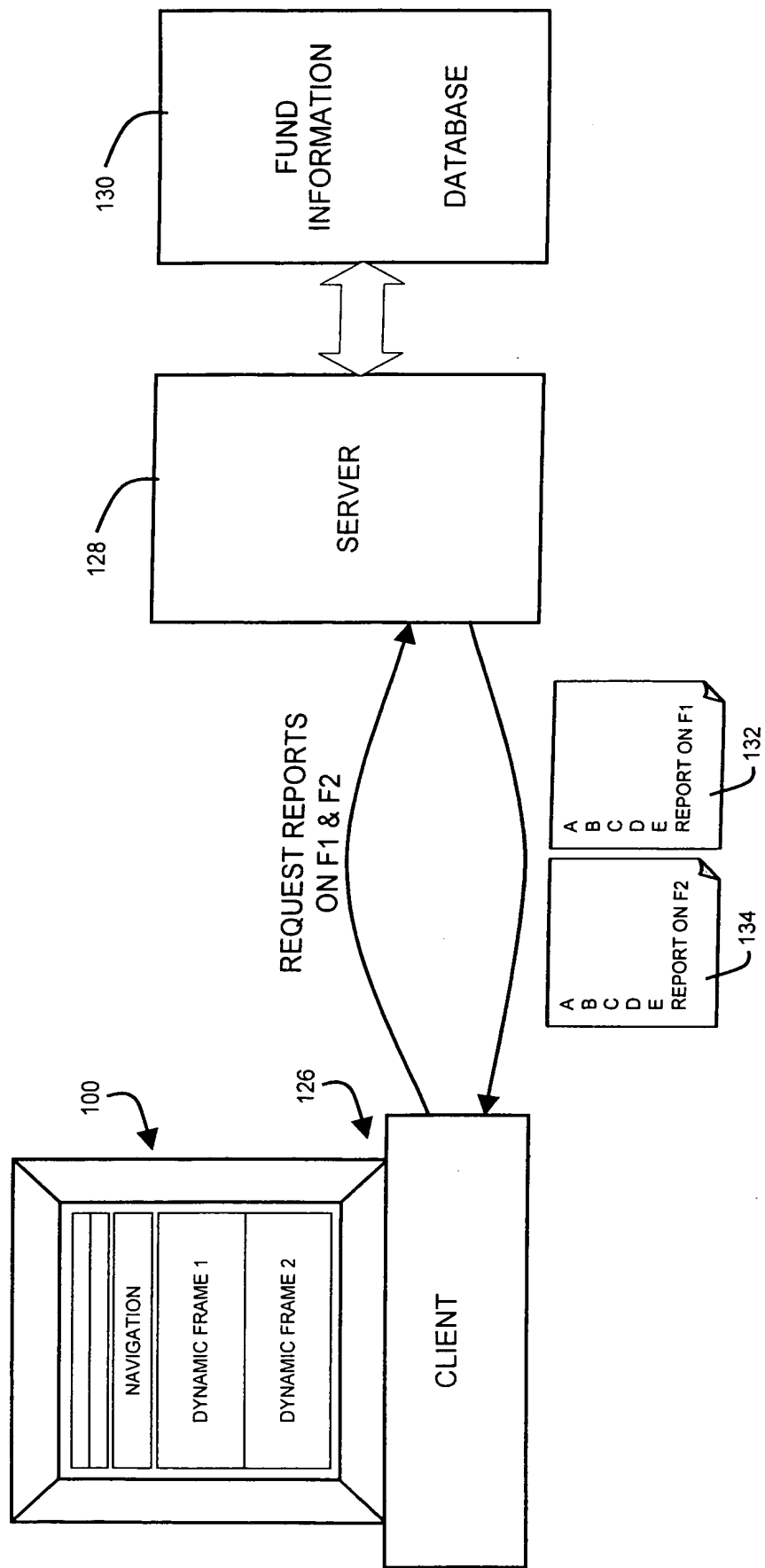


FIG. 3

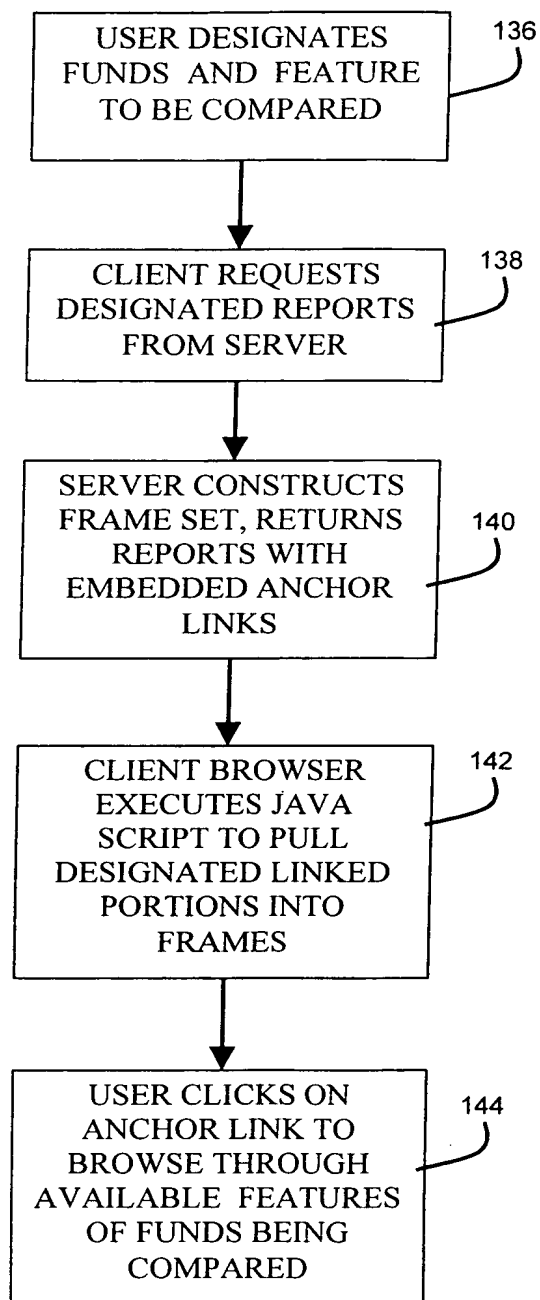


FIG. 4



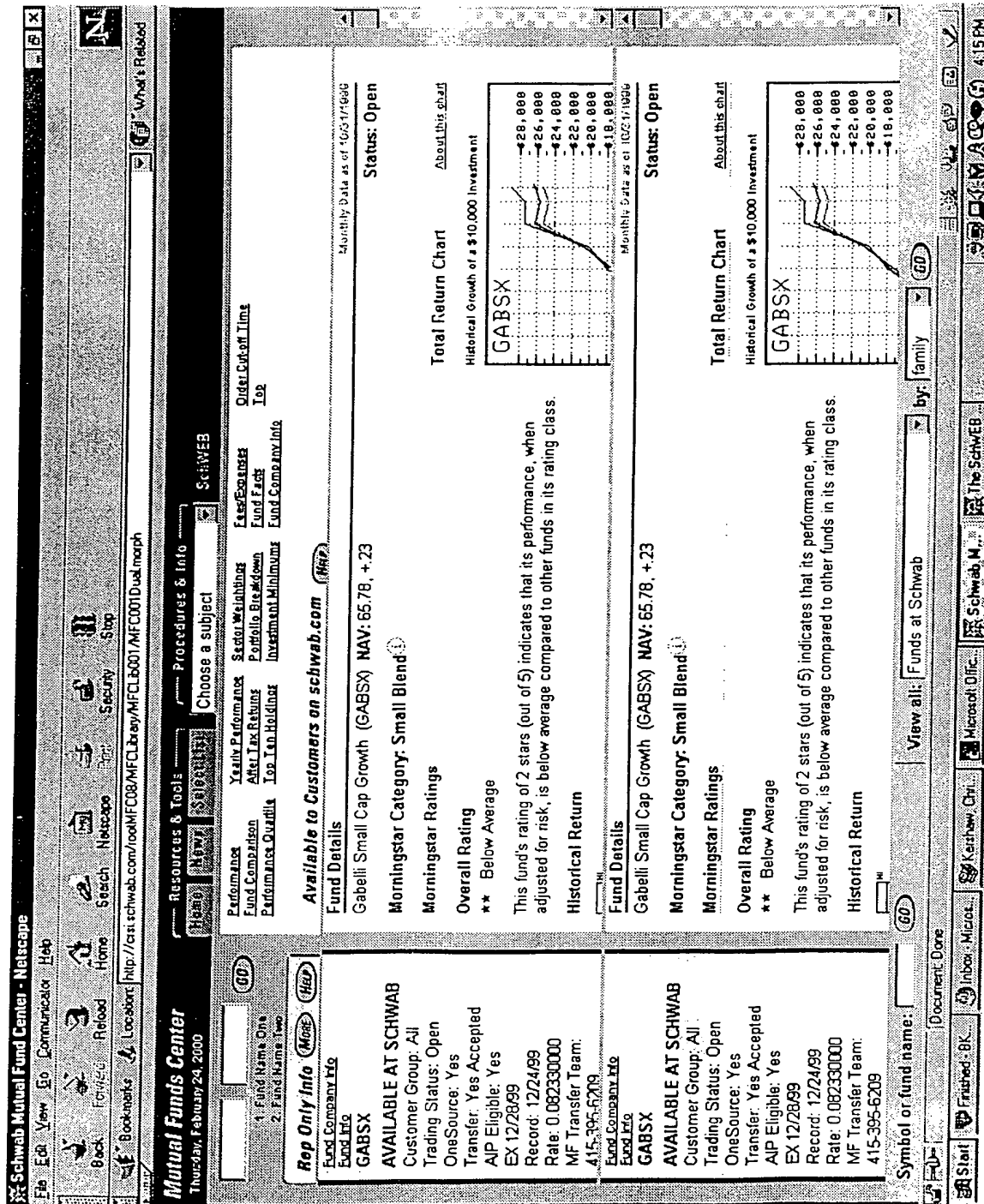


FIG. 5A

**Schwab Mutual Fund Center - Netscape**

File Edit View Go Commercial Help

Back Forward Reload Home Search Netscape Help Security Shop

Bookmarks Location <http://www.schwab.com/toolMFC08/MFC08Library/MFC08001/MFC08001Dualmorph>

**Mutual Funds Center**  
Thursday, February 24, 2000

Resources & Tools **Procedures & Info** **Schwab**

Home **Help** **800-850-8500**

Choose a subject

Performance Yearly Performance Sector Watchlist Fees/Expenses Order Cut-off Time  
Fund Comparison Fund Tax Returns Portfolio Breakdown Fund Fees Top  
Performance Quotile Top Ten Holdings Investment Minimums Fund Company Info

**Available to Customers on schwab.com** **Help**

**Fees/Expenses**

One Source (no load, no transaction fee): Yes  
Maximum Sales Load: None  
Annual Operating Expenses: Fund: 1.44% Category Average: 1.40%  
12b-1 Fee: 0.25  
Redemption Fee: \$0.00%  
Transaction Fee: No

**Fund Facts**

Beta: 0.70  
Total Assets (in millions): \$304.85  
Inception: 10/22/1991  
Schwab Select List: Yes  
Annual Dividend Yield: N/A  
Portfolio Turnover: 20%  
Manager: Mario J. Gabelli, since 1991  
Index Fund: No

**Investment Minimums** **Fund Company Info**

**Fees/Expenses**

One Source (no load, no transaction fee): Yes  
Maximum Sales Load: None  
Annual Operating Expenses: Fund: 1.44% Category Average: 1.40%  
12b-1 Fee: 0.25  
Redemption Fee: \$0.00%  
Transaction Fee: No

**Investment Minimums** **Fund Company Info**

Initial \$2,500 Provided by Gabelli Funds  
View all: Funds at Schwab

Symbol or fund name:  Initial  By: family

Start       4:19 PM

**FIG. 5B**

Schwab Mutual Fund Center - Netscape
File Edit View Go Communities Help
Back Forward Reload Home Search Netscape

Mutual Funds Center
Thursday, February 24, 2000
1 Fund Name Only
2 Fund Name Two

Resources & Tools
Procedures & Info
Schwab

Performance
Fund Comparison
After Tax Returns
Performance Quotile
Top Ten Holdings
Sector Weightings
Portfolio Breakdown
Order Cut-off Time
Fund Facts
Fund Company Info

Available to Customers on schwab.com

After Tax Returns

	Actual Return	3 mo.	6 mo.	1 Yr.	5 Yr.	10 Yr.	Since Inception
Tax Efficiency	3.75	1.30	11.87	11.31	N/A	N/A	N/A

Top Ten Holdings

Company	Weighting
Liberty	3.24%
USA Networks	3.18%
United TV	2.07%
Celestial Seasonings	1.74%
Carter-Wallace	1.68%
CLARCOR	1.04%

Sector Weightings

Sector	Weighting
Consumer Durables	0.23%
Consumer Staples	0.24%
Energy	0.02%
Financials	7.70%
Industry Cyclicals	34.35%
Services	20.71%

Portfolio Breakdown

Category	Weighting
Cash	0.06%
Convertibles	0.00%
Domestic Bonds	0.00%
Domestic Stocks	90.57%
Foreign Bonds	0.00%
Foreign Stocks	2.00%

After Tax Returns

	Actual Return	3 mo.	6 mo.	1 Yr.	5 Yr.	10 Yr.	Since Inception
Tax Efficiency	3.75	1.30	11.87	11.31	N/A	N/A	N/A

Top Ten Holdings

Company	Weighting
Liberty	3.24%
USA Networks	3.18%
United TV	2.07%
Celestial Seasonings	1.74%
Carter-Wallace	1.68%
CLARCOR	1.04%

Sector Weightings

Sector	Weighting
Consumer Durables	0.23%
Consumer Staples	0.24%
Energy	0.02%
Financials	7.70%
Industry Cyclicals	34.35%
Services	20.71%

Portfolio Breakdown

Category	Weighting
Cash	0.06%
Convertibles	0.00%
Domestic Bonds	0.00%
Domestic Stocks	90.57%
Foreign Bonds	0.00%
Foreign Stocks	2.00%

Symbol or fund name:

View all: Funds at Schwab by: family

FIG. 5C



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/598,889	06/21/2000	Christopher Kershaw	SCHW-800-(US)	6362

29585 7590 07/11/2005

DLA PIPER RUDNICK GRAY CARY US LLP  
153 TOWNSEND STREET  
SUITE 800  
SAN FRANCISCO, CA 94107-1907

EXAMINER

CHUONG, TRUC T

**RECEIVED**

ART UNIT

PAPER NUMBER

2179

JUL 14 2005

DATE MAILED: 07/11/2005

DLA PIPER RUDNICK  
GRAY CARY

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/598,889

Applicant(s)

KERSHAW ET AL.

Examiner

Truc T. Chuong

Art Unit

2179

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 28 February 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 21 June 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- ☐ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_\_

PD

### DETAILED ACTION

This communication is responsive to Amendment, filed 02/28/05.

Claims 1-15 are pending in this application. Claims 1, 7, 12, and 15 are independent claims. This action is made final.

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior office action.

#### *Claim Rejections - 35 USC § 102*

1. Claims 1, and 3-15 are rejected under 35 U.S.C. 102(e) as being anticipate by Johnson et al. (U.S. Patent No. 6,067,525).

As to claim 1, Johnson teaches a method for comparing information from a plurality of items on a visual display (e.g., col. 4 lines 20-35, col. 5 lines 13-30, col. 12 lines 44-65, and figs. 3-4 & 8), comprising the steps of

(a) identifying with a common tag, passages in the information for each of the plurality of different items which relate to a category of information (a product module 402 is integrated to export a sample of any product information side-by-side with competitor's product information by inserting tags using the product module 402 and automatically inserted as a section of a proposal generated using the proposal module 412, e.g., col. 12 lines 43-65, col. 13 lines 25-26, col. 17 lines 13-17, 26-36, and col. 35 lines 13-15 and fig. 4);

(b) providing a different display area in the visual display for each of the plurality of different items (the competitive comparison module 420, also provides the ability to present the

Art Unit: 2179

company's product information side-by-side with a competitor's product information, col. 12 lines 43-65 or col. 15 lines 58-67); and

(c) displaying in each of the display areas the passages from each of the plurality of different items which are identified by a designated common tag, so that the passages are observable at the same time (inserting the tags related to the product and only the selected information of that product will be displayed side-by-side with the competitor's product for comparing, col. 12 lines 43-65, and fig. 4, figs. 3-4 & 8, and col. 15 lines 58-67).

As to claim 3, Johnson teaches the method of claim 1 wherein the information about the plurality of different items is found in reports compiled for each of the plurality of items, and each of the common tags is an anchor link (inserting the tags related to the product and only the selected information of that product will be displayed side-by-side with the competitor's product for comparing, col. 12 lines 43-65, and fig. 4, figs. 3-4 & 8).

As to claim 4, Johnson teaches the method of claim 3 wherein the reports are compiled by an information server (a server-based back office system 200, col. 7 line 58-col. 8 line 21).

As to claim 5, Johnson teaches the method of claim 4 wherein the information server inserts the common tags into the reports (the tagged information product will be shown on the comparison module 420, col. 11 line 20-col. 12 line 65, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-B).

As to claim 6, Johnson teaches the method of claim 4 wherein the information server is located remotely from the visual display (remote data source may be implemented in real-time

Art Unit: 2179

utilizing two-way data sharing across a network communications provider, e.g., col. 11 lines 39-47).

As to claim 7, Johnson teaches a method of providing comparative information in an image displayed by a visual display about a plurality of different items, wherein information about the plurality of different items includes portions relating to common topics, and further wherein the portions on common topics are identified in the information by identifying tags (see claim 1 above), the method comprising the steps of

(a) providing a navigational frame in the displayed image (The salesperson is able to view guidelines and recommendations for each step, col. 21 lines 1-29, and col. 35 lines 25-49);

(b) providing a plurality of dynamic frames in the displayed image (e.g., col. 11 line 20-col. 12 line 65, col. 5 lines 13-30, col. 11 line 20-col. 12 line 65, and figs. 4, 15A-B);

(c) receiving in the navigational frame a user designation of the different items to be compared (e.g., col. 12 lines 43-65 or col. 15 lines 58-67);

(d) display simultaneously in each of the dynamic frames information about the different items designated to be compared (a product module 402 is integrated to export a sample of any product information side-by-side with competitor's product information by inserting tags using the product module 402 and automatically inserted as a section of a proposal generated using the proposal module 412, e.g., col. 12 lines 43-65, and fig. 4, or col. 15 lines 58-67).

As to claim 8, it can be rejected under similar rational as claim 7. Note the rejection of claim 7 above.

As to claim 9, Johnson teaches the method of claim 7 further including the step of compiling the information about the plurality of items in a server located remotely from the



Art Unit: 2179

visual display (e.g., col. 11 lines 39-47, using different APIs in communications, col. 8 lines 22-44).

As to claim 10, Johnson teaches the method of claim 9 further including the steps of

(a) sending a request to the server for reports about the items designated in the navigational frame (the sales process is stored and retrieved for a database, e.g., col. 4 lines 28-36);

(b) compiling in the sever the requested reports (A report manager tool is also provided in the system administration subsystem 215 to handle audit reports, data books and other documents, e.g., col. 9 lines 31-38); and

(c) communicating the requested reports to the visual display (the tagged information product will be shown on the comparison module 420, col. 12 lines 43-65, and fig. 4, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-B, e.g., col. 17 lines 15-38, and figs. 15A-C).

As to claim 11, Johnson teaches the method of claim 10 wherein the compiling step includes the step of assembling frames for the reports corresponding to each of the portions on the common topics (the tagged information product will be shown on the comparison module 420, col. 12 lines 43-65, and fig. 4, and the customer information collected which can also be tagged and printed as a section of a proposal generated using the proposal module 412, col. 13 lines 24-35, figs. 3-4, 8, 15A-B, col. 12 lines 43-65 or col. 15 lines 58-67).

As to claims 12-14, they are apparatus claims of method claims 7-8, and 10. Note the rejections of claims 7-8, and 10 above respectively.

Art Unit: 2179

As to claim 15, it is individually similar in scope to claim 10 above; therefore, rejected under similar rationale.

***Claim Rejections - 35 USC § 103***

2. Claim 2 is rejected under 35 U.S.C. 103(a) as being unpatentable over Johnson et al. (U.S. Patent No. 6,067,525) in view of Freidman et al. (U.S. Patent No. 6,360,188 B1).

As to claim 2, Johnson teaches the method of claim 1 wherein the plurality of different items (see claim 1 above) and the information being compared is information (the competitive comparison module 420, also provides the ability to present the company's product information side-by-side with a competitor's product information, col. 12 lines 43-65 or col. 15 lines 58-67); however, Johnson does not clearly mention that the plurality items are investments. Freidman clearly teaches banking information and investments (col. 11 line 57-col. 12 line 63, and figs. 3-5, and 7C). It would have been obvious, at the time of the invention, a person with ordinary skill in the art would have the financial display features of Freidman's financial model in Johnson's system to provide more flexible ways in viewing data for users by using the direct graphical representation facilitates planning operations and enables accurate, rapid and easily understandable development of plans (Freidman, Abstract).

***Response to Arguments***

3. Applicant's arguments filed 02/28/05 have been fully considered but they are not persuasive.

Applicants argued and Examiner disagrees with the following reasons:

Art Unit: 2179

*Johnson fails to teach the "common tag" that is used to identify passages in the information for each of the plurality of different items which relate to a category of information.*

Johnson clearly teaches the specific types of information may be automatically tagged for inclusion in a presentation. The tag defines the type of product that the customer is interested in, and the tagged information can be generated and incorporated in both the proposal and presentation modules (e.g., col. 12 lines 62-65, col. 13 lines 25-26, col. 17 lines 13-17, 26-36, and col. 35 lines 13-15). As the result, it clearly means that the tag of information is used in Johnson to identify the specified types of product or categories of the plurality of different items/products as the "common tag" claimed by the applicant.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event,

Art Unit: 2179

however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Truc T. Chuong whose telephone number is 571-272-4134. The examiner can normally be reached on M-Th and alternate Fridays 8:30 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather R. Herndon can be reached on 571-272-4136. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Truc T. Chuong

07/05/05

  
BA HUYNH  
PRIMARY EXAMINER